

NYS Housing Trust Fund Corporation

Office of Community Renewal

NYS Community Development Block Grant Program 2014 Consolidated Funding Application



Environmental Finance Center
Minnowbrook Conference Center
Blue Mountain Lake, New York
April 22-24, 2014











NYS CDBG

Public Infrastructure/Public Facilities Program

Program Summary

- Overview
- Eligible Activities
- Funding Limits

Application Process

- Preparing to Apply
- Scoring Criteria



Application Tips

- Common Deficiencies in Unsuccessful Applications
- Helpful Hints
- Questions on the NYS CDBG Housing Program

CDBG Public Infrastructure/Public Facilities Program

Program Summary



Program Summary

Overview

- ❑ **Develop viable communities by providing decent housing and a suitable living environment principally for persons of low- and moderate-income.**
- ❑ **NYS must ensure that at least 70% of its CDBG grant funds are used for activities that benefit low- and moderate-income persons (at or below 80% of median) and meet one of the following National Objectives:**
 - **Benefit low- and moderate-income persons or families; or**
 - **Aid in the prevention or elimination of slums or blight; or**
 - **Meet an urgent community development need**

Program Summary

Public Infrastructure/Public Facilities

Eligible Activities

Public Infrastructure

- Public Water
- Public Sewer

Public Facilities

- Day Care Facilities
- Community/Senior Centers

Planning

- Community Needs Assessment
- Preliminary Engineering for Water and Sewer



Program Summary

Eligible Public Infrastructure/Public Facilities Activities

- ☐ Annual Competitive Applications
- ☐ User defined area of need
- ☐ Two (2) year contract term for public infrastructure/facility
- ☐ Fourteen (14) month contract term for planning
- ☐ Eligible Applicants: Units of Local Government with populations of less than 50,000 and counties with populations of less than 200,000
- ☐ 18% maximum for Administration, Program Delivery, Engineering and Architecture (infrastructure and facility)

Program Summary

Public Infrastructure/Public Facilities

Funding Limits

Public Infrastructure

- Towns, Cities or Villages: \$600,000
- Counties: \$750,000

Public Facilities

- Towns, Cities or Villages: \$400,000
- Counties: \$750,000

Shared Municipal Infrastructure

- Infrastructure: \$900,000

Planning

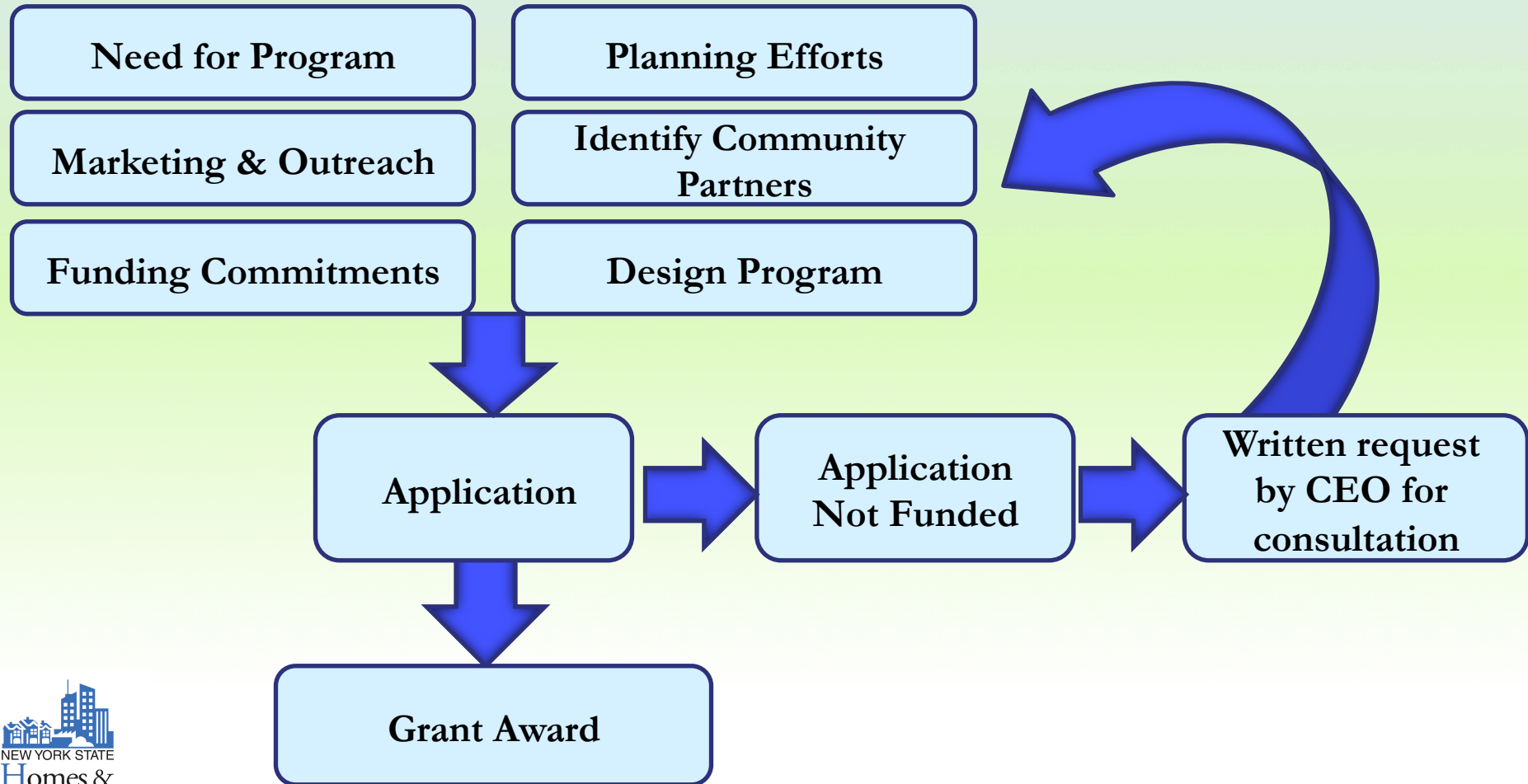
- Needs Assessment/Engineering \$ 50,000

CDBG Public Infrastructure/Public Facilities Program

The Application Process



Are YOU Prepared to Apply for a CDBG Grant?





Application Number 3343

Project: hcr PPT

[more](#)

Select Project Category

Welcome to the NYS Consolidated Funding Application.

This is the first step of your application so please answer the following set of questions as accurately as possible.

Choose one or more categories below that best represent the *hcr PPT* project for which you wish to submit this application:

- ☐ Affordable Housing
- ☐ Community and Waterfront Revitalization
- ☐ Direct Assistance to Businesses
- ☐ Energy & Environmental Improvements
- ☐ Low Cost Financing
- ☐ Municipal/Public Infrastructure
- ☐ Parks, Recreation, Historic Preservation and Heritage Areas
- ☐ Sustainability Planning Assistance
- ☐ Transportation Infrastructure
- ☐ Workforce Development

Proceed with Application

Critical Application Sections

Document Need

- Application Budget
- Project Description

National Objective Compliance

- LMA: Low/Mod area benefit
- LMC: Low/Mod Limited Clientele benefit
- SBS/SBA: Slums and Blight Spot or Area Basis



Public Infrastructure & Public Facilities Need

Description of:

- Existing conditions
- Need for services
- Area/Persons benefiting
- How Equivalent Dwelling Units (EDU) were calculated
- Operations and maintenance costs per EDU



Supporting Documentation:

- Engineer/Architect reports
- Consent orders, other violations, or regulatory letters
- Funding for services

Public Infrastructure & Public Facilities Budget

- ☐ Provide budget for entire project
- ☐ Include all funding sources (committed & projected)
- ☐ Supporting documentation:
 - Engineer/architect estimates
 - Ensure prevailing wages were used when preparing estimates
 - If force account labor, evidence of commitment of resources
 - Cost benefit analysis
 - Planning will require 10% cash match

Public Infrastructure, Facilities & Planning Project Description

- ☐ Must be specific to the project and activities being proposed
- ☐ Should clearly demonstrate that the project will address the identified needs
- ☐ Detailed to provide a complete picture of the project
- ☐ Provide supporting documentation
- ☐ Needs Assessment and Engineering must demonstrate that it will result in future activities that will benefit LMI

National Objective Compliance

LMA: Low/Mod area benefit:

Public Infrastructure/Facility projects

☐ Two methods used to demonstrate compliance

- Census Data
- Survey Data

Planning

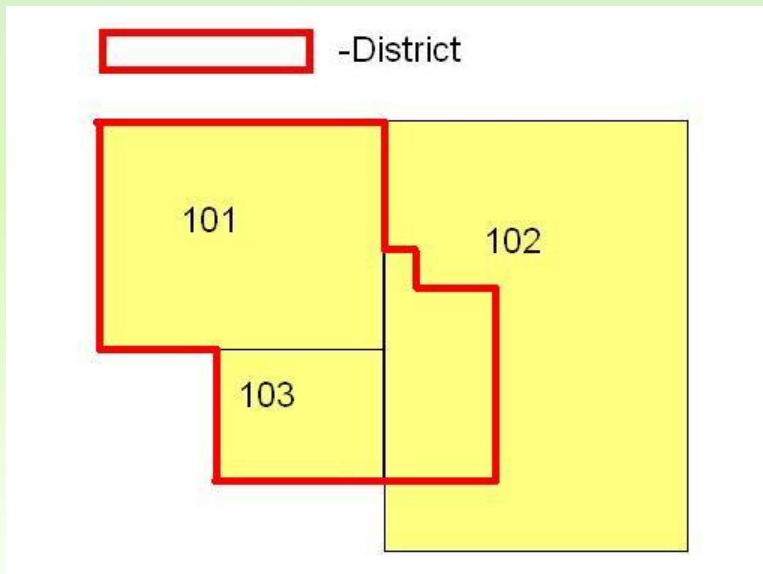
☐ Final plan or report again must demonstrate that future activities will benefit LMI persons



National Objective Compliance

■ Census Data

- **Must** match proposed benefit area



■ Survey Data

- Survey results must be summarized
- Survey instrument should be adequate to demonstrate eligibility
- Must include total population of the service area not just respondents
- Map Vacant, Seasonal and Institutional units
 - Seasonal housing must be presumed to be non-LMI
 - If required response rate is not met:
 - All non respondents and all vacant housing must be presumed to be non-LMI

National Objective Compliance

LMC: Low/Mod Limited Clientele benefit

❑ Presumed benefit

- Seniors, severely disabled, abused children

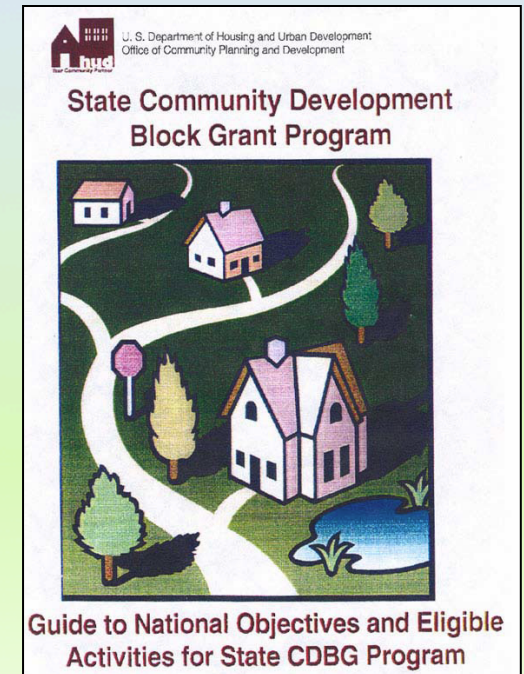
❑ Other service populations

- Requires information on family size and income so that it is evident that at least 51% of the clientele are LMI (example: health center serving predominantly LMI clientele)

For further information:

**Guide to National Objectives and Eligible
Activities for State CDBG Programs.**

<http://www.hud.gov/offices/cpd/communitydevelopment/library/stateguide/>



Application Process

Scoring Criteria

Applications are competitively rated and scored against each other and receive Program Assessment Scoring based on the following factors:

- ✓ Quality of application
- ✓ Appropriateness of activity
- ✓ CDBG and administrative performance history, if any
- ✓ Severity of need
- ✓ Extent to which activity resolves identified need
- ✓ Capacity to complete activities in a timely & effective manner
- ✓ Public benefit
- ✓ Project feasibility & schedule
- ✓ Leveraging and availability of other resources
- ✓ Reasonableness of project costs, incl, program delivery & administration
- ✓ Extent to which activity complements other federal, state, & local programs
- ✓ Public support



Application Process

Scoring Criteria

Need and Impact

- Do not rely on data to speak for itself.
- State why CDBG funds are necessary to undertake Public Infrastructure/Facility or Planning & Engineering.
- Identify the goals of the program.
- Explain why the specific activities were proposed.
- Explain how the proposed grant meets the needs identified.
- Explain how the proposed plan aligns with community goals and priorities

Application Process Scoring Criteria

Leveraging

Provide documentation of all financial commitments:

- Other grant sources
- Commitments for private financing
- Planning & Engineering will require 10% cash match
- Administrative funding for staff time



Application Process

Scoring Criteria

Capacity

Ability to administer Public Infrastructure/Facility/Planning Grant:

- Demonstrate your understanding of program rules.
- Identify experienced staff who will be responsible for administration.



Application Process

Scoring Criteria

Smart Growth Public Infrastructure Act

- Requires the Housing Trust Fund Corporation to ensure, to the greatest extent practicable, that public infrastructure projects meet relevant Smart Growth criteria prior to approving, undertaking and/or financing such projects.
- 10 Criteria are identified
- Criteria are listed in Application Kit



CDBG Public Infrastructure/Public Facilities Program

Application Tips



Application Tips

Common Deficiencies in Unsuccessful Applications

Administrative capacity is not described, including staff roles and administrative procedures.

- Identify staff assigned to work on the proposed program, their specific roles, and any relevant training or experience that they have.
- Provide details related to the use of budgeted CDBG Public Infrastructure or Public Facilities administrative funds.
- Identify additional sources of administrative funding for the program.
- Identify procedures in place to ensure timely implementation of the program.

Application Tips

Common Deficiencies in Unsuccessful Applications

Program readiness is not evident, including community interest, eligible projects and funding commitments.

- Identify specific program guidelines with eligible work scopes and feasible timelines.
- Identify funding commitments.
- Present a thorough understanding of CDBG Public Infrastructure, Facilities and Planning program requirements.

Application Tips

Common Deficiencies in Unsuccessful Applications

Funding commitments provided are insufficient.

- Provide commitment letters for all sources of leveraged funds contributing to the project.
- For the 10% required match for planning, documentation must be presented that clearly states that the municipality will have the funds are committed and will be available at time of award.
- Formal documentation can include grant award letters from local or state agencies, commitment letters with accompanying bank statements, board minutes approving administrative funding for the program.

Application Tips

Common Deficiencies in Unsuccessful Applications

Budget narratives do not match budget tables, and budget presented is not feasible.

- Present a feasible, well planned budget.
- Explain why CDBG Public Infrastructure/Facilities or Planning funds are necessary.
- Substantiate the requested amount.
- For each source identified, indicate whether the source is formally committed or pending approval.

Application Tips

Common Deficiencies in Unsuccessful Applications

Public hearing: failure to hold prior to application

- One public hearing is required prior to submission
- If only applying for planning or engineering, public hearing is still required
- Second public hearing will be held during the course of undertaking the project



Application Tips

Common Deficiencies in Unsuccessful Applications

Failure to adequately demonstrate National Objective Compliance

- Census Data vs. Survey Data
- Excluding a benefitting population from total count
- Excluding description of National Objective Compliance

Helpful Hints

- Read the application packet
- Use the submission checklist
- Provide detailed Maps
- Document Citizen participation
- Provide only related information
- Carefully proofread
- Follow the application outline
- Answer all questions
- Complete forms in their entirety
- Select correct application type

When in doubt, CALL!

Additional Program Requirements-Certification

- Identify and remediate environmental hazards (Lead!)
- Minority and Women-Owned Businesses (MWBE)
<http://www.nylovesmwbe.ny.gov/>
- Title VI of the Civil Rights Act of 1964. As amended (42 U.S.C. 2000d et seq.)
- The Fair Housing Act (42 U.S.C. 3601-3620)
- Equal Opportunity in Housing (Executive Order 11063, as amended by Executive Order 12259)
- Age Discrimination Act of 1975, As Amended (42 U.S.C. 6101)
- Affirmative Marketing
- Americans With Disabilities Act (42 U.S.C. 12131; 47 U.S.C. 155, 201, 218, 225)
- Section 3 of the Housing and Urban Development Act of 1968
- Davis Bacon Related Acts

Questions?

If you have any further questions,
please contact NYS OCR at

518-474-2057

or via e-mail at

ocrinfo@nyshcr.org